



Practitioner's Docket No. U 013711-6

PATENT

174
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hiroyuki ONISHI, et al
Application No.: 10/009,884 Group No.: 1746
Filed: November 13, 2001 Examiner: William P. Fletcher III
For: METHOD FOR SURFACE-TREATMENT, SURFACE TREATED ARTICLE AND DEVICE FOR SURFACE TREATMENT

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
BEFORE MAILING DATE OF EITHER A FINAL ACTION
OR NOTICE OF ALLOWANCE (37 C.F.R. 1.97(c))

NOTE: 37 C.F.R. 1.97: "(c) An information disclosure statement shall be considered by the Office if filed after the period specified in paragraph (b) of this section, provided that the information disclosure statement is filed before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and it is accompanied by one of:

- (1) The statement specified in paragraph (e) of this section; or
- (2) The fee set forth in § 1.17(p)."

NOTE: "If a final action or notice of allowance is mailed in an application and later withdrawn, the application will be considered as not having had a final action or notice of allowance mailed for purposes of considering an information disclosure statement." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is **mandatory**;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

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37 C.F.R. 1.8(a)

37 C.F.R. 1.10* (Preferred)

- ☒ with sufficient postage as first class mail.
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TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office. to (703) 872-9306 -

Date: July 8, 2004

Signature

CLIFFORD J. MASS

(type or print name of person certifying)

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d) for the reply to be accorded

the earliest possible filing date for patent term adjustment calculations.

NOTE: 37 C.F.R. § 1.704(d): "A paper containing only an information disclosure statement in compliance with §§ 1.97 and 1.98 will not be considered a failure to engage in reasonable efforts to conclude prosecution (processing or examination) of the application under paragraphs (c)(6), (c)(8), (c)(9), or (c)(10) of this section if it is accompanied by a statement that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the information disclosure statement. This thirty-day period is not extendable."

NOTE: "If information submitted during the period set forth in 37 C.F.R. 1.97(c) with a certification is used in a new ground of rejection on unamended claims, the next Office action will not be made final since in this situation it is clear that applicant has submitted the information to the office promptly after it has become known and the information is being submitted prior to a final determination on patentability by the Office. However, the information submitted with a certification can be used in a new ground of rejection and the next Office action made final, [i]f the new ground of rejection was necessitated by amendment of the application by applicant. Where the information is submitted during this period with a fee, the examiner may use the information submitted, e.g., printed publication or evidence of public use, and make the next Office action final whether or not the claims have been amended, provided that no other new ground of rejection which was not necessitated by amendment to the claims is introduced by the examiner. See MPEP 706.07(a). If a new ground of rejection is introduced that is neither necessitated by an amendment to the claims nor based on the information submitted with the fee set forth in 37 C.F.R. 1.17(p), the Office action shall not be made final. Notice of April 20, 1992 (1138 O.G. 37-41, 39).

WARNING: "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63). But see § 103(b) and (c), limited suspension of action in a continued prosecution application (CPA) filed under § 1.53(d) and in a request for continued examination (RCE) under § 1.114.

WARNING: No extension of time can be had under 37 C.F.R. 1.136(a) or (b) for filing an IDS. 37 C.F.R. 1.97(f).

TIME OF TRANSMITTAL OF ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

1. The information disclosure statement transmitted herewith is being filed **after** three months of the filing date of this national application or the date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first Office action on the merits, whichever event occurred last but **before** the mailing date of either:

- (1) a final action under § 1.113 or
- (2) a notice of allowance under § 1.311,

whichever occurs first.

STATEMENT OR FEE

2. Accompanying this transmittal is
(check either A or B below)

A. ☐ a statement as specified in 37 C.F.R. 1.97(e).

OR

B. ☒ the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement under § 1.97(c). (\$180.00).

METHOD OF PAYMENT OF FEE

3.

- ☒ Attached is a check in the amount of \$ 180.
- ☐ Charge Account No. _____ in the amount of \$ _____.
- A duplicate of this request is attached.

If any additional fees are due, please charge Account 12-0425.

Reg. No. 30,086

Tel. No.: (212) 708-1890

Customer No.: 00140



SIGNATURE OF PRACTITIONER

CLIFFORD J. MASS

(type or print name of practitioner)

P.O. Address

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New York, N.Y. 10023



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hiroyuki ONISHI, et al
Application No.: 10/009,884 Group No.: 1746
Filed: November 13, 2001 Examiner: William P. Fletcher III
For: METHOD FOR SURFACE-TREATMENT, SURFACE TREATED ARTICLE AND
DEVICE FOR SURFACE TREATMENT

Attorney Docket No.: U 013711-6

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicant calls the Examiner's attention to the references listed on the attached
Form PTO-1449. Copies of the references are also attached.

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*
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37 C.F.R. 1.8(a)

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Date: July 8, 2004

Signature

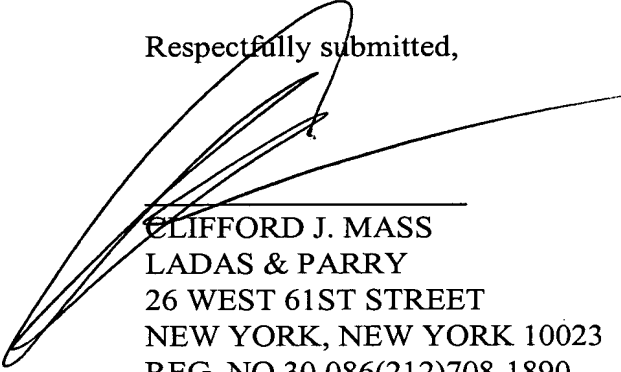
CLIFFORD J. MASS

(type or print name of person certifying)

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mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label
thereon is an oversight that can be avoided by the exercise of reasonable care, requests for
waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed.
Reg. 56,439, at 56,442.

English translations are provided for some of the references. The pertinence of the references without translations is provided in the English specification.

Respectfully submitted,



CLIFFORD J. MASS
LADAS & PARRY
26 WEST 61ST STREET
NEW YORK, NEW YORK 10023
REG. NO.30,086(212)708-1890

FORM PTO-1449

U. S DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK
OFFICE

ATTY. DOCKET NO.

SERIAL NO.

U 013711-6

10/009,884

APPLICANT

Hiroyuki ONISHI, et al

FILING DATE

GROUP

November 13, 2001

1746

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	REFERENCE DESIGNATION	DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA				
	AB				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AL	JP 09-254526 A	9/1997	JP		X
	AM	JP 08-164664 A	6/1996	JP		X
	AN	JP 05-221115 A	8/1993	JP		X
	AO	JP 07-246769 A	9/1995	JP		X
	AP	JP 08-252985 A	10/1996	JP		X
	AQ	JP 08-252883 A	10/1996	JP		X
	AR	JP 05-318943 A	12/1993	JP		X
	AS	JP 08-174989 A	7/1996	JP		X
	AT	JP 08-207429 A	8/1996	JP		X
	AU	JP 09-174995 A	7/1997	JP		X
	AV	JP 57-069054 A	4/1982	JP		X
	AW	JP 56-077154 A	6/1981	JP		X
	AX	JP 55-150396 A	11/1980	JP		X
	AY	JP 02-080279 A	3/1990	JP		X
	AZ	JP 02-194958 A	8/1990	JP		X

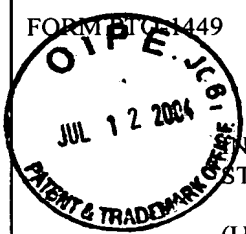
OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

	AR	
	AS	
	AT	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449  U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		ATTY. DOCKET NO.		SERIAL NO.	
		U 013711-6		10/009,884	
		APPLICANT			
		Hiroyuki ONISHI, et al			
		FILING DATE		GROUP	
November 13, 2001		1746			
U.S. PATENT DOCUMENTS					
EXAMINER INITIALS	REFERENCE DESIGNATION	DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA				
	AB				
FOREIGN PATENT DOCUMENTS					
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION
					YES NO
	AL	JP 58-128862 A	8/1983	JP	X
	AM	JP 03-240557 A	10/1991	JP	X
	AN	JP 10-081064 A	3/1998	JP	X
	AO	JP 10-100397 A	4/1998	JP	X
	AP	JP 11-058942 A	3/1999	JP	X
	AQ	JP 11-115308 A	4/1999	JP	X
	AR	JP 10-119420 A	5/ 1998	JP	X
	AS	JP 10-119423 A	5/1998	JP	X
	AT	JP 10-119424 A	5/1998	JP	X
	AU	JP 10-175365 A	6/1998	JP	X
	AV	JP 10-193776 A	7/1998	JP	X
	AW	JP 10-203006 A	8/1998	JP	X
	AX	JP 11-020300 A	1/1999	JP	X
	AY	JP 11-020306 A	1/1999	JP	X
	AZ	JP 07-276789 A	10/1995	JP	X
	AA	JP 08-174992 A	7/1996	JP	X
OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)					
	AR				
	AS				
	AT				
EXAMINER			DATE CONSIDERED		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					